



APR 04 2006

Please type or sign (+) inside this box → +

PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1

of 3

Application Number	10/805,729
Filing Date	03/22/2004
First Named Inventor	Porras et al.
Group Art Unit	2131
Examiner Name	Ayaz R. Sheikh
Attorney Docket Number	SRI/3928-9
Submission Date	March 31, 2006

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
/BH/	A1	6,067,582	05-2000	Smith, et al.	
/BH/	A2	6,119,236 A	09-2000	Shipley, P.M.	
/BH/	A3	6,192,392	02-2001	Ginter	
/BH/	A4	6,269,456	07-2001	Hodges et al.	
/BH/	A5	6,275,942 B1	08-2001	Bernhard et al.	
/BH/	A6	6,298,445	10-2001	Shostack et al.	
/BH/	A7	6,324,656	11-2001	Gleichauf et al.	
/BH/	A8	2002/0019870	02-2002	Chirashnya et al.	
/BH/	A9	6,405,318	06-2002	Rowland, C. H.	
/BH/	A10	6,442,694 B1	08-2002	Bergman et al.	
/BH/	A11	6,477,651 B1	11-2002	Teal, D.M.	
/BH/	A12	6,529,954 B1	03-2003	Cookmeyer et al.	
/BH/	A13	6,535,227	03-2003	Fox et al.	
/BH/	A14	6,532,543	03-2003	Smith et al.	
/BH/	A15	6,546,493 B1	04-2003	Magdych et al.	
/BH/	A16	2003/0145226	07/31/2003	Bruton III et al	
/BH/	A17	2003/0172166	09/11/2003	Judge et al.	
/BH/	A18	6,553,378 B1	04-2003	Eschelbeck, G.	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				
/BH/	B1	WO 03/077071	09/18/2003	Giphertrust, Inc.		
/BH/	B2	WO 02/101516 A2	12/19/2002	Intravert Networks		
/BH/	B3	WO 99/57625	11/11/1999	PRC Inc.		
	B4					
	B5					

/Brandon Hoffman/

Examiner

Date Considered 04/05/2007

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 801.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Please type a plus sign (+) inside this box →

PTO/SB/08a (08-03)

Approved for use through 07/31/2008. OMB 0651-0031

Approved for use through 07/01/2006. GPO 083-1000

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449A/PTO
INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Application Number	10/805,729
Filing Date	03/22/2004
First Named Inventor	PORRAS et al.
Group Art Unit	2131
Examiner Name	Ayaz R. Sheikh
Attorney Docket Number	SRI/3928-9
Submission Date	March 31, 2006

Shee

of | 3

Submission Date

March 31, 2006

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

Examiner /Brandon Hoffman/

Date Considered 04/05/2007

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 801.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 3 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 4 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 5 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Please type a plus sign (+) inside this box →

PTO/SB/08b (08-03)

Approved for use through 08/30/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

3

3

Application Number	10/805,729
Filing Date	03/22/2004
First Named Inventor	PORRAS et al.
Group Art Unit	2131
Examiner Name	Ayaz R. Sheikh
Attorney Docket Number	SRI/3928-9

Submission Date

March 31, 2006

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
/BH/	C1	SHOSTACK, A., "An overview of SHTTP, pp 1-7, May 1995.	
/BH/	C2	RADLAN, "Intrusion Detection, Extend the Monitoring and Protection of Your Network", Radian White Paper, pp. 1-7, February 1999	
/BH/	C3	ALMGREN, et al., "A lightweight Tool for Detecting Web Server Attacks," Network and Distributed Systems Security (NDSS 2000) Symposium Proceedings, pp. 157-170, 2000. Copy provided is marked as pp.1-14	
/BH/	C4	ALMGREN, et al., "Application-Integrated Data Collection for Security Monitoring," From Recent Advances in Intrusion Detection (RAID 2001) Springer, Davis, California, pp. 22-36 October 2001(copy comprises of pp. 1-21)	
/BH/	C5	DANIELS, et al. " A network Audit System for Host-based Intrusion Detection (NASHID) in Linux," 16 th annual Computer Security Application Conference (ACSAC 00) pp. 1-10, December 2000.	
/BH/	C6	DANIELS, et al. "Identification of Host Audit Data to Detect Attacks on Low-Level IP Vulnerabilities," J. Computer Security, 7 (1), pp. 3-35, 1999.	
/BH/	C7	DAYIOGLU, "APACHE Intrusion Detection Module," http://yunus.hacettepe.edu.tr/~burak/mod_id , pp.1-6, date Unknown, Downloaded 11/10/2003.	
/BH/	C8	HOLLANDER, Y., "The Future of Web Server Security: Why your web site is still vulnerable to attack," http://www.cgisecurity.com/lib/wpfuture.pdf , pp.1-9, allegedly posted 2000.	
/BH/	C9	LINDQVIST, et al, "eXpert-BSM: A host-based Intrusion Detection Solution for Sun Solaris," Proc 17 th Annual Computer security Application Conference, pg 240-251, December 2001.(copy provided comprises of pp. 1-12)	
	C10		
	C11		
	C12		

Examiner /Brandon Hoffman/

Date Considered 04/05/2007

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.